



U.S. Department
of Transportation
**Federal Aviation
Administration**

Memorandum Report

NAS Configuration Management and Evaluation Staff
Report # 1999-09

Date: Nov 30 1999

Subject: Inventory of Agency Process Improvement Initiatives

From: Director, Program Evaluation Division, ACM-10

To: Chair, Integrated Process Group (iPG)

We have completed a limited review of the agency's process improvement initiatives. After an initial discussion with the iPG wherein we proposed a full evaluation of the agency's process improvement initiatives¹, the iPG tasked us to limit our review to an inventory of these initiatives and provide this inventory within a short period of time. The inventory was to include process improvement initiatives within the ARA and ATS lines of business and any corporate-sponsored process improvement initiatives that affected ARA or ATS. We were also to attempt to note any relationships between them. This report transmits that inventory.

We identified a process improvement initiative as one that meets the following three criteria:

1. Does the action(s) or activity(s) intend to change the way ARA or ATS does business?
2. Does the nature of the change refine an existing FAA process or define a new FAA process?
3. Is the action(s) or activity(s) significant, and does it affect multiple organizations within ARA and/or ATS?

We interviewed 48 officials from 32 ARA, ATS, and other organizations (e.g., AHR, AIO, AIR, IPT members, IPLT sub-group members, iPG members, office directorates, subject matter experts, etc.) and searched the FAA Intranet to identify process improvement initiatives. Through this method, we identified a total of 108 possible initiatives. While we believe this list includes most of the current initiatives, there may be others that we did not identify during our interviews. We concluded that 23 of these possible initiatives were process improvement initiatives that met our criteria and 48 were not. (See Attachments #1 and #2, respectively, for those two lists.) We were unable to determine conclusively if the remaining 37 possible initiatives met our criteria. This was

¹ The proposed full evaluation would have included (1) inventorying the initiatives and resources used; (2) surveying a cross section of management and working level personnel to assess the value, perception, and resources spent, and issues associated with the initiatives; (3) assessing the contributions against the stated purposes; (4) assessing the redundancies, conflicts, etc. between the initiatives; (5) assessing and analyzing the resources used and impacted by each initiative; and (6) developing findings and recommendations to address these issues.

due to the lack of readily available information on some of the proposed initiatives. (See Attachment #3 for that list.)

While we were performing our review we noted two things that we would like to bring to your attention. First, numerous working groups exist that are creating extra work activities. These working groups did not meet our process improvement criteria, but may generate activities that would. We provided a list of the various working groups and boards people mentioned during our interviews. (See attachment #4.) We could not pursue all the activities these groups generated within the requested timeframe. You may wish to pursue these at a later date.

Second, there is a significant amount of employee frustration with the amount of work necessary to implement not only process improvement initiatives, but also other requirements. As noted on Attachments #2 and #3, there are numerous activities that do take considerable time and effort to comply with even though they may not be classified as process improvement initiatives. Because this was one of the reasons you originally asked us to perform this review, you may also wish to pursue these non-process improvement initiatives further.

We wish to thank you for your support and specifically thank the iPG members who provided us with assistance during this review. As noted in our previous discussions, we would be happy to pursue some additional work in this area if you desire.

If you have any questions, or would like to discuss the contents of this report further, please call me at (202) 358-5404 or Zena Huen on (202) 358-5273.

SIGNED

Patricia A. Reese

Attachments

INITIATIVES THAT MEET THE ESTABLISHED PROCESS IMPROVEMENT INITIATIVE CRITERIA

No.	Initiative	Purpose	Sponsor/Contact Point
	Life Cycle Management		
1	FAA Acquisition Executive Advisory Board (FAB) – Proposals to tailor AMS policies	To tailor the Acquisition process to “fit” the needs of certain programs (e.g. infrastructure, power systems) and provide recommendations to the FAA Acquisition Executive. Some programs may be candidates for skipping certain AMS phases (e.g. Mission Analysis, Investment Analysis).	FAA Acquisition Executive (FAE) POC: Joann Kansier (ARS)
2	Life Cycle Acquisition Management Process System (LAMPS)	To develop a comprehensive list of activities needed for effective FAA life cycle management of buildings, systems and services. Also to clarify service life extension programs and legacy replacement in context of AMS.	Integrated Product Leadership Team (IPLT) POC: Jerry Trenholm (ANS) and Debbie Wilson (ASU)
3	In-Service Review Checklist	To update the outdated Deployment Readiness Review checklist due to AMS. This checklist is designed to ensure that systems will be ready for deployment and will reflect the current system engineering processes. This checklist will impact all organizations involved with successful deployment of systems.	Integrated Product Leadership Team (IPLT) POC: Bill Bradford (ABZ)
4	Configuration Management (CM) Policy, Process and Procedures Changes	To replace FAA Order 1800.8F and standardize CM business practices within the FAA.	ACM-20 POC: Rebecca T. King
5	System Prototypes in Active Air Traffic Control Facilities: Development and Evaluation Process	To require appropriate development of the NAS infrastructure and require removal of all unapproved prototypes.	AAT-1 POC: Don Eddy (ASD)

INITIATIVES THAT MEET THE ESTABLISHED PROCESS IMPROVEMENT INITIATIVE CRITERIA

No.	Initiative	Purpose	Sponsor/Contact Point
6	NAS Technical Architecture	To develop technical details that will support architectural assessments for Mission Analysis and Investment Analysis; provide a basis to develop requirements, procedures, interfaces, and plans needed by Integrated Product Teams; ensure NAS products are implemented using a consistent set of standards; and develop NAS Requirements Documents.	ARA/ASD POC: Mike Harrison (ASD-100)
7	NAS Infrastructure Management (NIM)	To improve Airway Facilities (AAF) services while reducing costs and increase the productivity of AAF operations by using new technological tools and processes to enable more effective utilization of people and resources. Note: This is not to be confused with the Capital Investment Plan's Program entitled NAS Infrastructure Management System (NIMS).	AOP-1 POC: Thom Gassert (AOP-1)
8	Performance Based Management of Periodic Maintenance	To improve periodic maintenance (PM) tasks by providing a structured recommendation decision making and approval process for determining required maintenance at the System Service Center (SCC) level within AAF and enable AAF employees to influence these practices.	AOP-300 POC: Jeanne Miller (AOP-300)
	Human Resources		
9	Core Compensation System	To change the pay practices of the agency by giving FAA managers more flexibility in hiring, firing and rewarding employees. This includes the Organizational Success Increase (OSI) and Superior Contribution Increase (SCI). The System is undergoing an 18-month pilot program in ARA that is not yet completed.	AHR/AHP/ABZ-200 for ARA POC: Mike Packard (ABZ-200) & Chris Early (AHP-300)

INITIATIVES THAT MEET THE ESTABLISHED PROCESS IMPROVEMENT INITIATIVE CRITERIA

No.	Initiative	Purpose	Sponsor/Contact Point
10	Acquisition Workforce Learning System (AWLS)	To analyze and assess competencies needed to do acquisitions in accordance with AMS and provide guidance on future training and developmental needs. Currently, it includes only issues related to ARA.	ARA/ABZ-200 POC: Lyn Hilderbrandt (ABZ-200)
	FAA-iCMM		
11	Process Action Team (PAT) – Needs - FAA iCMM PA 01	To develop Process Description Documents and other iCMM related implementation tools that will enable IPTs to tailor their Needs processes and implement them consistent with iCMM Level 2.	Primarily AUA with AND, ARS, AOS, ACT, and ASU involvement POC: Bennie Sanford (AUA-10) and Mike Bateman (AUA-340)
12	Process Action Team (PAT) – Requirements - FAA iCMM PA 02	To develop Process Description Documents and other iCMM related implementation tools that will enable IPTs to tailor their Requirements processes and implement them consistent with iCMM Level 2.	Primarily AUA with AND, ARS, AOS, ACT, and ASU involvement POC: Susan Houston (AUA)
13	Process Action Team (PAT) – Outsourcing - FAA iCMM PA 05	To develop Process Description Documents and other iCMM related implementation tools that will enable IPTs to tailor their Outsourcing processes and implement them consistent with iCMM Level 2.	Primarily AUA with AND, ARS, AOS, ACT, and ASU involvement POC: Susan Houston (AUA)
14	Process Action Team (PAT) – System Test and Evaluation - FAA iCMM PA 08	To develop Process Description Documents and other iCMM related implementation tools that will enable IPTs to tailor their System Test and Evaluation processes and implement them consistent with iCMM Level 2.	Primarily AUA with AND, ARS, AOS, ACT, and ASU involvement POC: Susan Houston (AUA)
15	Process Action Team (PAT) – Transition - FAA iCMM PA 09	To develop Process Description Documents and other iCMM related implementation tools that will enable IPTs to tailor their Transition processes and implement them consistent with iCMM Level 2.	Primarily AUA with AND, ARS, AOS, ACT, and ASU involvement POC: Denise Glass (AUA), Dyana Kelley (ACT), Adrienne Scott (AUA TAC)

INITIATIVES THAT MEET THE ESTABLISHED PROCESS IMPROVEMENT INITIATIVE CRITERIA

No.	Initiative	Purpose	Sponsor/Contact Point
16	Process Action Team (PAT) – Project Management - FAA iCMM PA 11	To develop Process Description Documents and other iCMM related implementation tools that will enable IPTs to tailor their Project Management processes and implement them consistent with iCMM Level 2.	Primarily AUA with AND, ARS, AOS, ACT, and ASU involvement POC: Bill Voss (AUA) and Jeff Hmara (AND)
17	Process Action Team (PAT) – Contract Management - FAA iCMM PA 12	To develop Process Description Documents and other iCMM related implementation tools that will enable IPTs to tailor their Contract Management processes and implement them consistent with iCMM Level 2.	Primarily AUA with AND, ARS, AOS, ACT, and ASU involvement POC: Matoka Forbes (AUA), Sean Jenkins (ASU), Susan Houston (AUA)
18	Process Action Team (PAT) – Quality Assurance and Management - FAA iCMM PA 15	To develop Process Description Documents and other iCMM related implementation tools that will enable IPTs to tailor their Quality Assurance and Management processes and implement them consistent with iCMM Level 2.	Primarily AUA with AND, ARS, AOS, ACT, and ASU involvement POC: Matoka Forbes (AUA)
19	Process Action Team (PAT) – Configuration Management - FAA iCMM PA 16	To develop Process Description Documents and other iCMM related implementation tools that will enable IPTs to tailor their Configuration Management processes and implement them consistent with iCMM Level 2.	Primarily AUA with AND, ARS, AOS, ACT, and ASU involvement POC: Vivian Smith (AUA) and Robert Pfoff (AUA)
20	Technical Center Engineering Process Group (TEPG)	To support process improvement activities to meet ARA/ATS shared performance Goal 8 (FAA-iCMM). The TEPG provides guidance and direction to the FAA Technical Center Process Improvement effort. The group reports to the ACT-1 management team.	ARA/ACT POC: Bernard Hanlin (ACT-200) and Natalie Reed (ACT-200)
21	ARS iCMM Program	To support process improvement activities within the ATS/ARS organization and is focusing on Needs and Requirements Process Areas.	ATS/ARS POC: Karen Hammond (ARS)

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No.	Initiative	Purpose	Sponsor/Contact Point
	Financial		
22	Cost Accounting System (CAS)	To capture detailed cost data usage in order to facilitate better FAA management. Currently, there are two pilot projects that have started within the agency.	CFO/ABA POC: Tim Lawler (ABA-20)
23	Operations Budget Process Review	To develop recommendations for improving the agency's operations budget process. The Operations Baseline Team is presently handling this initiative.	ATS/AAF/AFZ & ATS/ARS/ARR POC: Cynthia Beck (AFZ-400)

**INITIATIVES THAT DO NOT MEET THE
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No.	Initiative	Purpose/Description	Rationale for Not Meeting Criteria
	Life Cycle Management		
1	Acquisition Management System (AMS)	An FAA policy and guidance for all aspects of the acquisition life cycle from the determination of mission needs to the procurement and life cycle management of products and services that satisfy those needs. AMS has been in effect since April 1, 1996.	AMS is the agency's policy. As such, it does not meet the criteria.
2	Integrated Product Development System (IPDS)	An FAA process whereby people from various functional disciplines form a team and together have responsibility for a particular project. This process has been in effect for more than 3 years.	Existing policy and processes, unless being refined, do not meet the criteria.
3	Integrated Baseline Establishment and Management (I-BEAM)	An integrated, multi-level process for establishing and managing program baselines. The I-BEAM process has been in effect since 1997.	Existing policy and processes, unless being refined, do not meet the criteria.
4	NAS Architecture	A roadmap for modernizing the NAS. It describes the schedules and costs necessary to implement the capabilities and services defined in the FAA and Industry Concept of Operations.	The NAS Architecture is the agency's long-range plan defining the needs of the NAS. It does not meet our criteria for a process improvement initiative. However, see NAS Technical Architecture in Attachment #1 for a new initiative associated with the NAS Architecture.

Notes:

1. While these do not meet the Process Improvement Initiative Criteria, they may take considerable time from our resources.
2. We listed everything mentioned during interviews even though we knew some do not meet the criteria.

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No.	Initiative	Purpose/Description	Rationale for Not Meeting Criteria
5	AND Project Management Improvement Initiative (PMII)	An internal AND-200 initiative to examine current practices in project baseline management (all AND programs) and make improvements to those practices using the iCMM process areas (specifically QA and PM) and the AMS. The project is in its initial stages. There is no deadline. This initiative should be worked in with other agency on-going activities. Currently, AND is in the process of writing a plan.	Informal and no real schedule or tasks right now. It does seek to improve how AND manages its baselines, but it is not a formal initiative at this time. In addition, this initiative is an internal AND process that will not impact agency-wide processes within ARA or ATS.
6	Research Policy	Initiative to understand how the organization is managing research and to determine the process that is in place. People within ARA want to document the management of research process. The result will be a documented process.	This activity is merely documenting a current process. It is not anticipated to change how the agency does business.
7	Mission Analysis Steering Group	This is a group that receives and reviews all Mission Need Statements.	Existing policy and processes, unless being refined, do not meet the criteria.
8	Acquisition System Advisory Group (ASAG)	A rule making body, whose function is to approve (or disapprove) changes proposed for AMS.	The ASAG is a rule making body. It does not change processes per se; it merely approves (or disapproves) changes proposed to the AMS.
	Systems		
9	Dynamic Object Oriented Requirements System (DOORS)	Automated mechanism to track system requirements throughout the acquisition process to ensure tractability (e.g. System specifications traced back to System Requirements).	Systems that merely automate processes do not meet the criteria.
10	Regional Information System (REGIS)	Automated “field – Airway Facilities” management information system.	Systems that merely automate processes do not meet the criteria.
11	NAS Infrastructure Management System(NIMS)	To provide a distributed management infrastructure to implement Airway Facilities future concepts of operations.	CIP Programs do not meet the criteria.

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12	AND-700 Part 171 Process	Effort to document AND-700 Navigational Aid certification process. This process applies to Non-Federal Navigational Aids at airport locations.	This activity is merely documenting a current process. It is not anticipated to change how the agency does business.
13	AOP Integrated Planning Model (IPM) [a.k.a. Modified Budget Requirements Tool (MBRT) and Integrated Planning and Budgeting Information System]	An automated system intended to link AOP program planning to the budget development process.	Systems that automate processes do not meet the criteria.
	Human Resources		
14	HR/Personnel Reform	A reform effort granted by Congress to address the unique needs of the Agency's workforce.	This term is an overarching term covering subsystems such as compensation, training, etc. Initiatives relating to these subsystems are addressed individually in other lines in this and other charts.
15	Personnel Management System	The FAA Personnel Management System forms the legal basis for the FAA's personnel system after HR/Personnel Reform.	This term is an overarching term covering subsystems such as compensation, training, etc. Initiatives relating to these subsystems are addressed individually in other lines in this and other charts.
16	Modernization of Human Resource Information System Program	A program to obtain updated and enhanced capability software that will serve the purposes presently being served by the Consolidated Personnel Management Information System and Integrated Personnel Payroll System. It will also change interfacing human processes to accommodate the software in the future.	This is a replacement for software. It does not meet our criteria.
17	Model Work Environment (MWE)	An agency goal to improve the work environment for all employees.	This is an agency goal, not a specific process change initiative. Initiatives that develop as a result of this goal could be noted as process change initiatives and shown in other lines in this and other charts.

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18	Intellectual Capital Investment Plan (ICIP)	A strategic intellectual capital plan that addresses ARA's competency needs in order to meet its annual performance plan. This is part of the Intellectual Capital Investment Program.	The ICIP is a plan. It does not meet the criteria of a process improvement initiative.
19	Performance Management Plans (PMP)	To replace the former personnel appraisal form with one that denotes joint responsibility between the employee and supervisor for results based employee performance. A major part of this initiative is regular coaching and feedback sessions. This is part of the 18-month ARA pilot program and affects most ARA employees.	These are plans developed annually and do not meet the criteria of a process improvement initiative.
	Government Performance and Results Act (GPRA)		
20	Government Performance Results Act (GPRA) - New Performance System	A law that requires agencies to (1) develop strategic plans, (2) prepare annual plans setting performance goals, and (3) report annually on actual performance.	GPRA is a law, not a process improvement initiative.
21	Strategic Planning, Problem Solving Board	A board, consisting of the Administrator's Senior Management Team, which forms the future vision and direction of the agency and sets goals, objectives, and priorities for FAA.	This is a team, not a process.
22	Resource Management Council or Planning Board	A body concerned with the approval of Operations Funds (Operations & Maintenance) for the agency.	This is a group, not a process.
23	FAA Strategic Plan	The FAA Strategic Plan supports the GPRA requirement that each agency will develop a strategic plan.	The Plan, in and of itself, does not meet our criteria for a process improvement initiative.

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No.	Initiative	Purpose/Description	Rationale for Not Meeting Criteria
24	ARA Performance Plan	A plan that documents priorities that ARA will undertake during the coming year. It lists goals for the organization and the strategies and activities that the organization will undertake in achieving the goals.	The Plan, in and of itself, does not meet our criteria for a process improvement initiative.
25	ATS Performance Plan	A plan that documents priorities that ATS will undertake during the coming year. It lists goals for the organization and the strategies and activities that the organization will undertake in achieving the goals.	The Plan, in and of itself, does not meet our criteria for a process improvement initiative.
26	Capital Investment Plan (CIP)	A 5-year plan that describes and provides the status of all FAA Facilities and Equipment (F&E) programs currently in progress and identifies near-term capital investments.	This is a plan, an actual document, reflecting the current F&E funded programs of the NAS Architecture. It does not meet the criteria of a process improvement initiative.
27	Research, Engineering & Development (R,E&D) Plan	A manual that documents the agency's R,E&D programs.	This is a plan, an actual document, reflecting the current R,E&D funded programs. It does not meet the criteria of a process improvement initiative.
	FAA-iCMM		
28	FAA Integrated Capability Maturity Model (FAA-iCMM)	FAA's iCMM focuses on FAA processes to acquire software intensive systems. It provides a tool to assess where FAA stands in relation to CMM maturity levels and it provides a roadmap for FAA to continue to improve.	FAA-iCMM does not refine an existing FAA process or define a new FAA process. FAA-iCMM provides a model of generic best practices for use as reference.
	iPG		
29	iPG Working Group Communications Working Group	A group that ensures significant FAA process improvement information and achievements are communicated within and external to the FAA.	The Communications Working Group is just a group disseminating information. It does not directly change the way ARA or ATS does business.

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No.	Initiative	Purpose/Description	Rationale for Not Meeting Criteria
30	Process Action Team (PAT) Working Group (PWG)	A group formed to provide a forum for addressing issues specifically related to PATs across LOBs. In particular, the PWG's focus is on: (1) identifying and proposing mitigation strategies for obstacles to implementing process improvement, and (2) sharing resources and artifacts to reduce implementation time and risk.	This working group is just a group. It does not change the way ARA or ATS does business.
31	iCMM Evolution Working Group	A group established to ensure the FAA-iCMM evolves to meet the needs of its stakeholders. Evolution will be planned and controlled. Types of evolution include maintenance and expansion.	This working group is just a group. It does not change the way ARA or ATS does business. It also does not affect multiple organizations.
32	12207 Working Group	A group to develop a 12207 policy statement, transition strategy, FAA tailoring guidelines, and standards reconciliation for submission to the CIO.	This working group is just a group. It does not change the way ARA or ATS does business.
33	Integrated Software Engineering Process Group (ISEPG)	A group established to implement process improvement initiatives in AUA and AND and unify process improvement resources to minimize the project resources required.	This working group is just a group. It does not change the way ARA or ATS does business.
34	AMS/IPDS/iCMM Alignment (A-Triple-I) Working Group	A group to review FAA-iCMM, IPDS, and AMS processes and requirements to identify any areas of contradiction or inconsistency. Also, identify areas of omission, or duplication, or overlap. Consider policy, processes, plans, and metrics. The A-Triple-I addresses iPG process improvement initiatives.	This working group is just a group. It does not change the way ARA or ATS does business.
	Miscellaneous		
35	AOS Quality Executive Oversight Council (QEOC)	A council that provides leadership and resources to develop and implement AOS Corporate Quality Program.	This working group is just a group. It does not change the way ARA or ATS does business.

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No.	Initiative	Purpose/Description	Rationale for Not Meeting Criteria
36	AOS Quality Assurance Committee (AQAC)	A committee that supports development, implementation, and integration of the AOS Corporate Quality Program.	This working group is just a group. It does not change the way ARA or ATS does business.
37	Software Grand Design	A project to: (1) Determine how software best fits into the current processes of Aircraft Certification (TC/STC/ATC, PC/PMA, TSO, ACSEP/Certificate Management, Designee Management); (2) Identify the functional roles and responsibilities of Engineers and Inspectors in the software area; (3) Identify the knowledge, skills and abilities for hiring/training personnel in software area; and, (4) Determine the tools (e.g., job aids) and training needed to equip our workforce for effective approval of software.	This initiative has an effect on AIR employees' capabilities (knowledge, skills and abilities) to approve software used in engine, flight, and other control systems on commercial, general aviation and business aircraft. It does not however, meet the criteria of affecting multiple organizations within ATS or ARA.
38	Certification Process Improvement	An initiative to improve the processes used by Aircraft Certification (AIR) personnel in planning, managing and documenting an effective certification project. The cornerstone of the improved process is an early and formal written agreement between the applicant and the FAA documenting the plan in terms of milestones, etc. from beginning to end. This project, very near to completion, represents a joint effort of FAA, General Aviation Manufacturers Association, and Aerospace Industries Association representatives.	This is a significant initiative that will yield processes that are more efficient, and thus (1) more compatible with the diminished resources environment of the Aircraft Certification Program; and (2) more acceptable to applicants with significant investments in the product to be "certified." It does not, however, meet the criteria of affecting multiple organizations within ATS or ARA.

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No.	Initiative	Purpose/Description	Rationale for Not Meeting Criteria
39	Organization Designation Authorization (ODA)	An Associate Administrator for Regulation and Certification (AVR) initiative to provide for increased delegation of certain clearly defined aircraft certification and flight standards operational approval functions to both individuals and organizations as authorized by subpart D to Part 183 of the Federal Aviation Regulations.	Increased delegations, with FAA oversight in the form of approving designee systems for carrying out delegated functions will help the FAA in leveraging its diminished resources. However, this initiative does not meet the criteria of affecting multiple organizations within ATS or ARA.
40	Administrator's Listening Sessions with customers	A program designed by AHP and AOA-5 to improve communications between FAA employees and corporate level officers. The program design calls for teams of 2 corporate officials (e.g., AVR-2 and ACS-1) visiting a region/center and holding listening/Q&A sessions separately with Regional Management Teams, first level supervisors, and employees. The corporate officials are there to answer/discuss questions and topics that are of interest to the field personnel. Each region and center would be visited each year.	While the results from these listening sessions may lead to process improvement initiatives, the listening sessions themselves do not meet our criteria.
41	Risk Assessment Analysis Process Initiative	A Risk Assessment Analysis performed as a requirement of the Federal Managers Financial Integrity Act (FMFIA). The analysis determines the magnitude of procedural vulnerability and the measures necessary to control such risks.	Not a new initiative, FMFIA has been in effect since 1997 and Risk Analyses have always been required.
42	Policy Statement for Involving Union	Policy on dealing with union employees.	Established policy documents in effect do not meet the criteria of a process improvement initiative.
43	Fee for Service	Agency is proposing to go to "Fee for Service." This will change the way budget allocation is handled.	This isn't a process change initiative. If adopted, this will be a way of doing business.

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No.	Initiative	Purpose/Description	Rationale for Not Meeting Criteria
44	Corporate Metrics	This is a goal/desire intended to bolster the Agency's credibility by developing metrics that are simple and easy to understand by customers outside of the Agency. The Administrator launched this initiative in August 1999, delegated to ATS-1 and then to ASC-1. Sponsorship maintained by AOA-1/ATS-1.	General terminology of actions already in place to meet an agency goal. It does not meet the criteria of a process improvement initiative.
45	INFO SEC - Information Systems Security Budget Process	The initiative is to document the process and to establish a standard way of identifying ISS budget requirements.	Documenting the existing system does not meet the criteria of defining or refining an existing FAA process improvement initiative.
46	AUA Big Map	An integrated context for all processes required to support the breadth of the FAA mission (from conception of service through provision of service).	The AUA Big Map is just a pictorial depiction of agency processes and systems. It does not change the way ARA or ATS does business.
47	On the Job Training (OJT)	Learning on the job as an employee performs his/her work	These are normal job activities experienced by employees, not a process change initiative.
48	Combined Federal Campaign (CFC)	A Government-wide charitable contribution program.	This is not an agency process change initiative.

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**INITIATIVES THAT MAY OR MAY NOT MEET THE
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No.	Initiative	Purpose/Description	Sponsor	Comment
	Life Cycle Management			
1	NAS Service Management System (NSMS)	A framework of policies, practices, and processes that AAF uses for managing all NAS service operations from identification of needs to in-service management, as well as service life extension programs and insertion of new technologies. This document sets forth the services provided by AAF and serves as a reference and guide for AAF and its customers and stakeholders.	AAF	The NSMS is in draft. There are concerns regarding its finalization.
2	Risk Management Initiative	An initiative to develop an agency-wide safety risk management program in accordance with FAA Order 8040.4.	ASD	
3	Integrated Logistics Working Group – Initiative to Update NAILS Order 1800.58	Initiative to update NAILS Order 1800.58. This update includes changes/updates to the AMS. The new policy will initiate the need to develop guidance in the agency relative to maintenance planning and execution. ARN-300 is updating the NAS Integrated Logistics Support (NAILS) Order, 1800.58 and incorporating NAILS policy/guidance in the Acquisition Management System/FAST.	ARN-300	Projected completion date of January 2000.

Note:

1. Due to various limitations, we were not able to determine conclusively if these items were process improvement initiatives or not at this time.

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ESTABLISHED PROCESS IMPROVEMENT INITIATIVE CRITERIA**

No.	Initiative	Purpose/Description	Sponsor	Comment
4	Proposed System Engineering Council (SEC)	Serves as the primary FAA point of coordination for NAS-level system engineering, and is responsible for performing corporate-level system engineering across the NAS and FAA. The SEC has the responsibility, authority, and accountability for the development, documentation, deployment, control and monitoring of the FAA system engineering processes. It is responsible for resolving technical or process problems identified by SEC members.	ARA	The charter is still in draft as of 11/15/99, although the council has existed since August 1999. POC: Scott Van Buren (ASD-110) and Sherrill Souders
5	System Technology Evolution Planning (STEP)	Projected to become the FAA standard for managing technology planning in a COTS product world.	AUA-200 (Gordon Shaffer)	
6	Mission Analysis/Investment Analysis AMS Policy Change	This initiative changes the AMS policy on how mission analysis and investment analyses are conducted. This initiative facilitated the development of the FAE Advisory Board.		This is still a draft policy change proposal, and we are not sure if the amount of resources necessary to implement this policy initiative is significant.
	ISO-9000			
7	ISO-9000 (ASU)	ASU-210 initiative using ISO-9000 as a standard to establish a quality management system and provide better service to customers.	ASU-1	ISO-9000 is not a Process Improvement Initiative in and by itself, but the activities generated to address these may be.
8	ISO-9000 (AML) Logistics Center	AML initiative using ISO-9000 as a standard to establish a quality management system and to improve quality of products at the Logistics Center.	AML-1 & AMC-1	ISO-9000 is not a Process Improvement Initiative in and by itself, but the activities generated to address these may be.

Note:

1. Due to various limitations, we were not able to determine conclusively if these items were process improvement initiatives or not at this time.

**INITIATIVES THAT MAY OR MAY NOT MEET THE
ESTABLISHED PROCESS IMPROVEMENT INITIATIVE CRITERIA**

No.	Initiative	Purpose/Description	Sponsor	Comment
9	ISO-9000 (AMQ) Office of Acquisition	AMQ initiative using ISO-9000 as a standard to establish a quality management system and to improve quality of products within the Office of Acquisition.	AMQ-1 & AMC-2	ISO-9000 is not a Process Improvement Initiative in and by itself, but the activities generated to address these may be.
10	ISO-9000 (AVN-300) Flight Inspection Maintenance Division.	AVN-300 initiative using ISO-9000/9001 as a standard to establish a quality management system and to improve quality of products within the Flight Inspection Maintenance Division.	AVN-1	ISO-9000 is not a Process Improvement Initiative in and by itself, but the activities generated to address these may be.
11	ISO-9000 Based Quality Management System (ANI)	ANI plans to launch an ISO-9000 based quality management system initiative to achieve, sustain, and improve quality of products/service.	ANI-1	ISO-9000 is not a Process Improvement Initiative in and by itself, but the activities generated to address these may be.
	IPLT			
12	IPLT Sub Group on In- Service Decision Process/Action Plans	Information not available at the time of our deliverable.	IPLT	
13	IPLT Sub Group IPLT/IMT Service Orientation	Information not available at the time of our deliverable.	IPLT	
14	IPLT Sub Group Human Factors	Information not available at the time of our deliverable.	IPLT	
15	IPLT Sub Group Headquarters IPDS Infrastructure	Information not available at the time of our deliverable.	IPLT	
16	IPLT Sub Group Forming/Dissolving, Changing IPDS Teams	Information not available at the time of our deliverable.	IPLT	

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**INITIATIVES THAT MAY OR MAY NOT MEET THE
ESTABLISHED PROCESS IMPROVEMENT INITIATIVE CRITERIA**

No.	Initiative	Purpose/Description	Sponsor	Comment
17	IPLT Sub Group JRC Delegation	Information not available at the time of our deliverable.	IPLT	
18	IPLT Sub Group Performance Goals CNS IMT	Information not available at the time of our deliverable.	IPLT	
19	IPLT Sub Group Roles and Responsibilities Metrics	Information not available at the time of our deliverable.	IPLT	
	Financial Management			
20	Services Based - Portfolio Management	An initiative to enhance the processes used in prioritizing and budgeting for the services FAA provides to its customers. The initiative is structured on the concept of organizing, budgeting, and prioritizing around packages of products (rather than individual products) that are integral parts of FAA services.	AIO-1, ATS-1, ARA-1, ABA-1, AVR-1	POC: Bob Rovinsky
21	Research & Development (R&D) Portfolio/Research Financial Management	Proposal for improving organizational roles and portfolio development processes.	ASD-300	September 3, 1999 Briefing to the Joint Resources Council stated overall level of effort required to build R&D portfolio exceeds what is reasonable for resultant budget levels.
22	Business Systems Integrated Planning (BSIP).	Financial system within ABA.	AIO	

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**INITIATIVES THAT MAY OR MAY NOT MEET THE
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No.	Initiative	Purpose/Description	Sponsor	Comment
	iPG			
23	Process Assets Working Group (PAWG)	Promotes a common basis for FAA organizations to store, archive, and access assets relating to process improvement. Establish guidelines for a process assets library (PAL) and standardize PAL procedures. (As of 13 September 1999) To support the corporate FAA integrated Process Group in implementing process improvement. The PAWG will promote a common basis for iPG member organizations to store/archive, manage & control establishment and maintenance of process assets as part of the Process Improvement program. The iPG ORD PAT will define more clearly the customer and the scope of this activity.	iPG Working Group	
24	Integrated Learning Resources Working Group (iLRG)	Provides learning opportunities in support of iPG goals. (As of 13 September 1999)	iPG Working Group	
25	Metrics Working Group – Metrics Process Improvement	Provides guidance on measurements for organizations, projects, and process improvement. Assist in implementing, training, and maintaining metrics programs for ARA and ATS. (As of 13 September 1999)	iPG Working Group	
	Miscellaneous			
26	ATS Workforce Learning System	Information not available at the time of our deliverable.	ATS	POC: Cathy Routon (AHM-100)

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No.	Initiative	Purpose/Description	Sponsor	Comment
27	INFOSEC – Order 1370.82	An existing Information Security policy 1600.54 is being replaced by 1370.82 and will require Information Security Officers and Information Security Managers for each LOB. Sponsored by AIO. It is unclear whether this initiative is limited to policy only.		
28	INFO SEC - System Certification and Authorization.	The FAA is required to have all information systems certified and authorized to operate prior to initial operating capability. Each system is required to develop a Security Certification and Authorization Package (SCAP) that consists of several documents required for system certification and authorization. The SCAP process documents the steps required to obtain system certification and authorization for each Line of Business. This is an agency-wide change. The process has never been documented before.	AIO-400	
29	AOS Activities	AOS is in the process of developing an organization that will deal specifically with process improvement. As a result, the AOS Executive Oversight Council (QUEC) and AOS Quality Assurance Committee (AQAC) will be eventually removed from existence. Union bargaining with unit employees is in process to ensure removal of the council and committee in accordance to regulations.	AOS-1	
30	System Acquisition and Engineering (contract and business)	Information not available at the time of our deliverable.		

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**INITIATIVES THAT MAY OR MAY NOT MEET THE
ESTABLISHED PROCESS IMPROVEMENT INITIATIVE CRITERIA**

No.	Initiative	Purpose/Description	Sponsor	Comment
31	Business Systems	Information not available at the time of our deliverable.		
32	Integrate Enterprise Tools	Information not available at the time of our deliverable.		
33	Enterprise Management Tools	Information not available at the time of our deliverable.		
34	Implementation of RTCA Certification Task Force 4 Recommendations	Initiative to assist in implementing the recommendations of the recently disbanded RTCA Certification Task Force (CTF) 4. The RTCA CTF 4 had been convened to address the fact that the growth and globalization of aviation has outpaced the government's certification policies and regulatory oversight of Communications, Navigation, Surveillance/Air Traffic Management (CNS/ATM) systems, equipment and procedures. The recommendations address FAA organizational and procedural issues, as well as international and industry practices.	AVR	POC: Ron Wojnar (AIR-2)
35	JRC Portfolio Review & Approval	Initiative to provide JRC decision-makers with information in a holistic manner necessary to make more sound decisions instead of one investment at a time approach that is currently being employed.	ACM-1 & ASD-300	This initiative was just proposed within the past month.
36	Customer Service Process	Initiative which resulted in a review of the ATS Technical Center and how it interacts with the field. Initiative was a result of major outages that occurred in the field.	AIO	

Note:

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No.	Initiative	Purpose/Description	Sponsor	Comment
37	RTCA DO-178B	The purpose of this initiative is to extend the analytic framework and standards of DO-178B to ground based systems. It presently pertains to software systems for airborne systems only. RTCA DO-178B was the document on which the Software Grand Design was centered. This initiative, starting with the expansion of RTCA DO-178B could be modeled after the Software Grand Design initiative, and yield similar benefits for the ARA and ATS community.		

Note:

1. Due to various limitations, we were not able to determine conclusively if these items were process improvement initiatives or not at this time.

**Partial List of Groups/Teams/Boards/Councils
Associated with Proposed Process Improvement Initiatives
And/Or Identified during Interviews**

1. Federal Aviation Acquisition Executive Advisory Board (FAB)
2. Joint Resources Council (JRC)
3. Integrated Management Teams (IMT)
4. Integrated Product Leadership Team (IPLT)
5. IPLT Subgroup - Life Cycle Acquisition Management Process System (LAMPS)
6. National Airspace (NAS) Technical Architecture Lead Team
7. NAS Technical Architecture - Separation Assurance Team
8. NAS Technical Architecture - Navigation Team
9. NAS Technical Architecture - Flight Planning Team
10. NAS Technical Architecture - Requirements Team
11. NAS Logical Architecture Team
12. Intellectual Capital Investment Council
13. Intellectual Capital Investment Council - 4 role-specific teams
14. Process Action Team (PAT) - Needs - FAA iCMM PA 01
15. Process Action Team (PAT) - Requirements - FAA iCM PA 02
16. Process Action Team (PAT) - Outsourcing - FAA iCMM PA 05
17. Process Action Team (PAT) - System Test and Evaluation - FAA iCMM PA 08
18. Process Action Team (PAT) - Transition - FAA iCMM PA 09
19. Process Action Team (PAT) - Project Management - FAA iCMM PA 11
20. Process Action Team (PAT) - Contract Management - FAA iCMM PA 12
21. Process Action Team (PAT) - Quality Assurance and Management - FAA iCMM PA 15
22. Process Action Team (PAT) - Configuration Management - FAA iCMM PA 16
23. Technical Center Engineering Process Group
24. Operations Baseline Team

25. Risk Management Committee
26. Integrated Logistics Working Group - Initiative to Update NAILS Order 1800.58
27. System Engineering Council
28. IPLT Subgroup - In-Service Decision Process/Action Plans
29. IPLT Subgroup - IPLT/IMT Service Orientation
30. IPLT Subgroup - Human Factors
31. IPLT Subgroup - Headquarters IPDS Infrastructure
32. IPLT Subgroup - Forming/Dissolving/Changing IPDS Teams
33. IPLT Subgroup - JRC Delegation
34. IPLT Subgroup - Performance Goals CNS IMT
35. IPLT Subgroup - Roles and Responsibilities Metrics
36. Process Assets Working Group (PAWG)
37. Integrated Learning Resources Working Group (iLGR)
38. Metrics Working Group - Metrics Process Improvement
39. AOS Executive Oversight Council (QUEC)
40. AOS Quality Assurance Committee (AQAC)
41. RTCA Select Committee 4
42. Mission Analysis Steering Group
43. Acquisition System Advisory Group (ASAG)
44. Operational Capability Demonstration Team associated with the new Human Resource Information System Program
45. Administrator's Senior Management Team
46. iPG Working Group Communications Working Group
47. Process Action Team (PAT) Working Group (PWG)
48. iCMM Evolution Working Group
49. 12207 Working Group
50. Integrated Software Engineering Process Group (iSEPG)
51. AMS/IPDS/iCMM Alignment (A-Triple-I) Working Group

- 52. NAS Information Architecture Committee (NIAC)
- 53. Operational Strategies Team
- 54. Resource Management Council (RMC) or Planning Board
- 55. Systems Engineering/Operational Analysis Team (SEOAT)